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PTO/SB/21 (08-00)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<p align="center">TRANSMITTAL FORM</p> <p align="center"><i>(to be used for all correspondence after initial filing)</i></p>		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	HU, LAWRENCE W.
		Group Art Unit	3732
		Examiner Name	SMITH, JEFFREY A.
Total Number of Pages in This Submission	23	Attorney Docket Number	GUID-012CON
<p align="center">ENCLOSURES (check all that apply)</p>			
<input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	
		<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for entry of Amendment filed May 14, 2003 (1 pg) Copy of Amendment and PTO forms 1449 filed May 14, 2003 (21 pgs.) postcard	
<p>Remarks</p>			
<p align="center">SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</p>			
Firm or Individual Name	ALAN W. CANNON, Reg. No. 34,977		
Signature			
Date	September 15, 2003		

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: September 15, 2003.	
Typed or printed name	Alan W. Cannon
Signature	
Date	September 15, 2003

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FACSIMILE TRANSMITTAL LAW OFFICE OF ALAN W. CANNON

834 South Wolfe Road
Sunnyvale, California 94086
Telephone (408) 736-3554
Facsimile (408) 736-3564
Email: alan@acannonlaw.com

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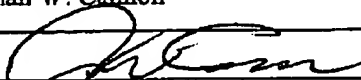
Date: September 25, 2003
To: US Patent and Trademark Office
ATTENTION: EXAMINER JEFFREY SMITH
GAU 3732
Facsimile No.: 703-872-9306
From: Alan Cannon
Re: Application Serial No. 09/900,503, Conf. # 5237
Attorney's Docket No. GUID-012CON

Message: Examiner Smith,
Thank you for your voice mail of this morning. We are transmitting herewith a Request for Consideration that we filed September 15, 2003, and which includes the amendment as filed May 14, 2003, IDS, and proof of receipt by the US Patent and Trademark Office. Please call to confirm that you have received this transmission.

Thanks,
Alan Cannon

Total number of pages, including this cover sheet: 25

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450.			
Typed or Printed Name	Alan W. Cannon		
Signature		Date	9/15/03


REQUEST FOR ENTRY AND CONSIDERATION OF AMENDMENT FILED MAY 14, 2003	Application No.	09/900,503
	Confirmation No.	5237
	Filing Date	July 6, 2001
	First Named Inventor	Hu, Lawrence W.
	Examiner.	Smith, Jeffrey A.
	Group Art Unit	3732
	Attorney Docket No.	GUID-012CON

Sir:

Applicants hereby request that the Amendment filed under 37 CFR 1.116 on May 14, 2003 be entered and considered. Applicants' representative telephoned the Examiner, the Examiner's SPE and the group receptionist to request the status of this case. The Examiner's SPE indicated that the Amendment filed May 14, 2003 has not yet been entered. Applicants are submitting a copy of the amendment as filed on May 14, 2003, including a copy of the postcard date-stamped by the U.S. Patent and Trademark Office, as proof of the filing of the amendment.

Applicants respectfully submit that no fees are due at this time, since the Amendment under 37 CFR 1.116 was timely filed within 2 months of the date of the final Office Action. However, the Commissioner is hereby authorized to charge any underpayment of fees associated with this communication, including any necessary fees for extensions of time and Notice of Appeal to avoid abandonment of the present case, or credit any overpayment to Deposit Account No. 50-2653, order number GUID-012CON.

Date: September 15, 2003

Respectfully submitted,
LAW OFFICE OF ALAN W. CANNON
By: 
Alan W. Cannon
Registration No. 34,977

LAW OFFICE OF ALAN W. CANNON
834 South Wolfe Road
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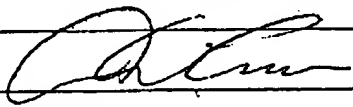



PTO/SB/21 (08-00)

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number	09/900,503	
		Filing Date	July 6, 2001	
		First Named Inventor	HU, LAWRENCE W.	
		Group Art Unit	3732	
		Examiner Name	SMITH, JEFFREY A.	
Total Number of Pages in This Submission		20	Attorney Docket Number	GUID-012CON
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Remarks				
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT				
Firm or Individual Name	ALAN W. CANNON, Reg. No. 34,977			
Signature				
Date	May 14, 2003			

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: May 14, 2003.	
Typed or printed name	Maria J. Sousa
Signature	
Date	May 14, 2003

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PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$120.00)

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:
- Deposit Account Number 50-0815
Deposit Account Name Bozicevic, Field & Francis LLP
- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.18 and 1.17
- ☐ Applicant Claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:☐ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

2. BASIC FILING FEE

Large Fee Code	Small Entity Fee (\$)	Small Entity Fee Code	Fee Description	Fee Paid
101	740	201	Utility filing fee	
106	330	206	Design filing fee	
107	510	207	Plant filing fee	
108	740	208	Reissue filing fee	
114	160	214	Provisional filing fee	

SUBTOTAL (1) 0.00

1. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
27-26** = 1	x	16.00	= 16.00
Indep. Claims 7-6** = 1	x	64.00	= 64.00
Multiple Dependent			

Large Fee Code	Small Entity Fee (\$)	Small Entity Fee Code	Fee Description	Fee Paid
103	18	203	Claims in excess of 20	
102	64	202	Independent claims in excess of 3	
104	260	204	Multiple dependent claim, if not paid	
109	64	209	** Reissue independent claims over original patent	
110	18	210	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) \$ 120.00

**or number previously paid, if greater; For Reissues, see above.

Complete if Known

Application Number 09/800,503
Filing Date July 6, 2001
First Named Inventor HU, LAWRENCE W.
Examiner Name SMITH, JEFFREY A.
Group Art Unit 3625
Attorney Docket No. GUID-012CON

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Small Entity Fee (\$)	Small Entity Fee Code	Fee Description	Fee Paid
105	130	205	Surcharge - late filing fee or oath	
127	50	227	Surcharge - late provisional filing fee or cover sheet	
139	130	139	Non-English specification	
147	2,520	147	For filing a request for ex parte reexamination	
112	920*	112	Requesting publication of SIR prior to Examination action	
113	1,840*	113	Requesting publication of SIR after Examiner action	
115	110	215	Extension for reply within first month	
116	400	216	Extension for reply within second month	
117	920	217	Extension for reply within third month	
118	1,440	218	Extension for reply within fourth month	
128	1,960	228	Extension for reply within fifth month	
119	320	219	Notice of Appeal	
120	320	220	Filing a brief in support of an appeal	
121	280	221	Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	Petition to revive - unavoidable	
141	1,280	241	Petition to revive - unintentional	
142	1,280	242	Utility issue fee (or reissue)	
143	460	243	Design issue fee	
144	620	244	Plant issue fee	
122	130	122	Petitions to the Commissioner	
123	60	123	Processing fee under 37 CFR 1.17(q)	
126	180	126	Submission of Information Disclosure Sheet	
581	40	581	Recording each patent assignment per property (times number of properties)	
146	740	246	For each additional invention to be examined (37 CFR § 1.129(a))	
148	740	248	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	Request for Continued Examination (RCE)	
189	900	189	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$0.00)

SUBMITTED BY

Name (Print/Type) Alan W. Cannon

Registration No. (Attorney/Agent)

34,877

Telephone

(408) 736-3554

Signature

Date

05/14/2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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PTO/SB/17 (10-01)

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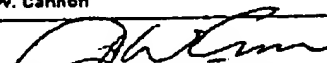
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**FEE TRANSMITTAL
for FY 2003**

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				Application Number	09/800,503
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				Group Art Unit	3625
				Attorney Docket No.	GUID-012CON

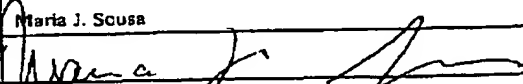
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ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>26</td> <td>Surcharge - late provisional filing fee or cover sheet</td> </tr> <tr> <td>138</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For filing a request for <i>ex parte</i> reexamination</td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td>Requesting publication of SIR prior to Examination action</td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> </tr> <tr> <td>116</td> <td>400</td> <td>216</td> <td>200</td> <td>Extension for reply within second month</td> </tr> <tr> <td>117</td> <td>920</td> <td>217</td> <td>480</td> <td>Extension for reply within third month</td> </tr> <tr> <td>118</td> <td>1,440</td> <td>218</td> <td>720</td> <td>Extension for reply within fourth month</td> </tr> <tr> <td>128</td> <td>1,980</td> <td>228</td> <td>980</td> <td>Extension for reply within fifth month</td> </tr> <tr> <td>119</td> <td>320</td> <td>219</td> <td>160</td> <td>Notice of Appeal</td> </tr> <tr> <td>120</td> <td>320</td> <td>220</td> <td>160</td> <td>Filing a brief in support of an appeal</td> </tr> <tr> <td>121</td> <td>260</td> <td>221</td> <td>140</td> <td>Request for oral hearing</td> </tr> <tr> <td>136</td> <td>1,510</td> <td>136</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive - 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2. BASIC FILING FEE <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>740</td> <td>201</td> <td>370</td> <td>Utility filing fee</td> <td></td> </tr> <tr> <td>106</td> <td>330</td> <td>206</td> <td>165</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>510</td> <td>207</td> <td>255</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>740</td> <td>208</td> <td>370</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>160</td> <td>214</td> <td>80</td> <td>Provisional filing fee</td> <td></td> </tr> </tbody> </table>				Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee		106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing fee		114	160	214	80	Provisional filing fee		SUBTOTAL (1) 0.00																																																																																																																
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1. EXTRA CLAIM FEES <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>27 - 25** = 2 x</td> <td></td> <td>18.00</td> <td>= 36.00</td> </tr> <tr> <td>Indep. Claims 7-6** = 1 x</td> <td></td> <td>84.00</td> <td>= 84.00</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>				Total Claims	Extra Claims	Fee from below	Fee Paid	27 - 25** = 2 x		18.00	= 36.00	Indep. Claims 7-6** = 1 x		84.00	= 84.00	Multiple Dependent				SUBTOTAL (2) \$ 120.00																																																																																																																																				
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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Alan W. Cannon	Registration No. (Attorney/Agent)	34,977
Signature		Telephone	(408) 736-3564
		Date	05/14/2003

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or Printed Name	Maria J. Sousa		
Signature		Date	May 14, 2003

AMENDMENT UNDER 37 C.F.R. §1.116 Address to: Box AF Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket Confirmation No.	GUID012CON 5237
	First Named Inventor	Lawrence W. Hu, <i>et al.</i>
	Application Number	09/900,503
	Filing Date	July 6, 2001
	Group Art Unit	3732
	Examiner Name	Smith, Jeffrey A.
	Title	SURGICAL RETRACTOR PLATFORM BLADE APPARATUS

Sir:

This amendment is responsive to the Final Office Action dated March 14, 2003 for which a three-month period for response was given making this response due on or before June 14, 2003. In view of the amendments to the claims and the remarks put forth below, reconsideration and allowance are respectfully requested. Applicants have attached to this amendment a "Version with Markings to Show Changes Made" wherein all of the amendments requested here are put forth with underlining and bracketing.

Applicants submit that the amendments set forth below raise no new issues. Rather, the amendments place the claims in form for allowance or in better form for appeal. Entry of these amendments is thus respectfully requested.

AMENDMENTS

IN THE CLAIMS

Please amend claim 8 as follows:

8. (Twice Amended) A surgical retractor blade, said retractor blade comprising a polymeric body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, and a rail extending along at least a portion of said polymeric body.

Copy of Paper 18 Jan 4/4/04

Atty Dkt. No.: GUID-012CON
USSN: 09/900,503

Please amend claim 11 as follows:

11. (Three Times Amended) A surgical retractor blade, said retractor blade comprising a body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free end and said internal wall.

Please enter the following new claims:

26 (New) A surgical retractor blade for attaching to a drive mechanism, said retractor blade comprising a body having a first end, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free end and said internal wall, wherein said suture locking member is substantially rigid and pivots about said fixed end.

27. (New) The surgical retractor of claim 26, further comprising a spring member biased against said suture locking member to forcibly urge said free end towards said internal wall.

Atty Dkt. No.: GUID-012CON
USSN: 09/900,503

REMARKS UNDER 37 CFR § 1.116

Formal Matters

Claims 1-6, 8-15 and 17-27 are pending after entry of the amendments set forth herein.

Claims 1-6, 8-15 and 17-25 were examined. Claims 8-11 and 21-23 were rejected. Claims 1-6, 14-20, 24 and 25 were allowed. Claims 12 and 13 were objected to.

Please replace claims 8 and 11 with the clean version provided above, and enter new claims 26 and 27 as provided above.

Attached hereto is a marked-up version of the changes made to the claims by the current amendment. The attached is captioned "**VERSION WITH MARKINGS TO SHOW CHANGES MADE.**"

Applicants respectfully request reconsideration of the application in view of the amendments and remarks made herein.

No new matter has been added.

The Office Action

Initially, Applicants wish to extend their appreciation to the Examiner for the indicated allowance of claims 1-6, 14-20, 24 and 25, as well as the indicated allowable subject matter in claims 12 and 13.

Claims 8-11 were rejected under 35 U.S.C. Section 102(e) as being anticipated by Hancock (U.S. Patent No. 6,331,157 B2). The Examiner indicated that the recitations "wherein said first end is adapted for attaching to a separated, complete drive mechanism" did not patentably distinguish the claims from the structure disclosed by Hancock because the "wherein" clause was not considered to further distinguish the structure recited.

In response thereto, Applicants have amended each of claims 8 and 11 to delete the discussed "wherein" clause. In its place, in each instance, the claims have been amended to further define recited first end as "adapted to attach to a separate, complete driving mechanism". It is respectfully submitted that this language structurally distinguishes the present invention as recited by claims 8 and 11 (and claims depending therefrom) over Hancock, since Hancock's blades are always attached to the driver. Further, it is respectfully submitted that it has been held that in a claim that was directed to a kit of component parts capable of being assembled, the Court held that limitations such as "members adapted

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to be positioned" and "portions . . . being resiliently dilatable whereby said housing may be slidably positioned" serve to precisely define present structural attributes of interrelated component parts of the claimed assembly. *In re Venezia*, 530 F.2d 956, 189 USPQ 149 (CCPA 1976). (see MPEP Section 2173.05(g)).

In view of the above amendment of claims 8 and 11, the Examiner is respectfully requested to reconsider and withdraw the rejection of claims 8-11 under 35 U.S.C. Section 102(e) as being anticipated by Hancock (U.S. Patent No. 6,331,157 B2), as being no longer appropriate. It is respectfully submitted that these amendments do not raise a new issue, since they address the same previously addressed issue of structurally limiting the presently claimed invention to blades that may be attached to a separate, complete drive mechanism.

Claims 21-23 were rejected under 35 U.S.C. Section 103 (a) as being unpatentable over Hancock in view of Brief (U.S. Patent No. 4,747,395). It is respectfully submitted that these claims are allowable over the recited combination of references for at least the same reasons that claims 8 and 11 patentably define over Hancock, as discussed above, since Brief does nothing to overcome the deficiencies of Hancock in meeting the recitations of claims 8 and 11, and since each of claims 21-23 depends from one of claims 8 and 11.

Accordingly, the Examiner is respectfully requested to reconsider and withdraw the rejection of claims 21-23 under 35 U.S.C. Section 103 (a) as being unpatentable over Hancock in view of Brief (U.S. Patent No. 4,747,395), as being no longer appropriate.

With regard to newly submitted claims 26 and 27, it is respectfully submitted that these claims are clearly allowable in view of the Examiner's indication, in the Office Action dated June 19, 2002, that claims 12 and 13 would be allowable if rewritten in independent form to include all of the limitations of the base claim and any intervening claims. New claims 26 and 27 correspond to claims 12 and 13 in such form.

PTO Forms 1449

Upon review of the file for this application, Applicants have discovered that not all of the documents that were submitted in the parent application (Application Serial No. 09/305,811, now U.S. Patent No. 6,283,912) have been submitted in the instant application. Accordingly, Applicants are submitting herewith PTO Forms 1449 listing the remainder of the documents which have not been submitted, but which were considered and cited during the prosecution of the parent application. Copies of the documents are not included, as having been already previously submitted in the parent

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application. Applicants would appreciate the Examiner initialing and returning an initialed copy of the enclosed PTO Forms 1449 to indicate consideration of the same.

Conclusion

Applicants submit that all of the claims are in condition for allowance, which action is requested. If the Examiner finds that a telephone conference would expedite the prosecution of this application, please telephone the undersigned at the number provided.

Atty Dkt. No.: GUID-012CON
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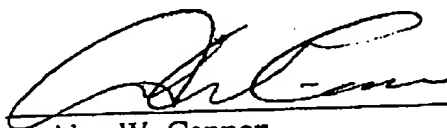
The Commissioner is hereby authorized to charge any underpayment of fees associated with this communication, including any necessary fees for extensions of time, or credit any overpayment to Deposit Account No. 50-2653, order number GUID-012CON.

Respectfully submitted,
LAW OFFICE OF ALAN W. CANNON

Date:

May 14, 2003

By:



Alan W. Cannon
Registration No. 34,977

LAW OFFICE OF ALAN W. CANNON
834 South Wolfe Road
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VERSION WITH MARKINGS TO SHOW CHANGES MADE

IN THE CLAIMS

Claim 8 was amended above as follows:

8. (Twice Amended) A surgical retractor blade, said retractor blade comprising a polymeric body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, and a rail extending along at least a portion of said polymeric body[, wherein said first end is adapted for attaching to a separate, complete drive mechanism].

Claim 11 was amended above as follows:

11. (Three Times Amended) A surgical retractor blade, said retractor blade comprising a body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free [ended] end and said internal wall[, wherein said first end is adapted for attaching to a separate, complete drive mechanism].

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Substitute for form 1449A/PTO		Complete If Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	1	of	10

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Documents		Date of Publication of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, columns, lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	452,131		May, 1891	Haughwout	
	A2	810,675		Jan., 1906	Richler	
	A3	2,296,793		Sep., 1942	Kirschbaum	
	A4	2,590,527		Mar., 1952	Fluck	
	A5	2,693,795		Nov., 1954	Grieshaber.	
	A6	2,863,444		Dec., 1958	Winsten.	
	A7	3,392,722		Jul., 1968	Jorgensen.	
	A8	3,683,926		Aug., 1972	Suzuki.	
	A9	3,720,433		Mar., 1973	Rosfelder.	
	A10	3,783,873		Jan., 1974	Jacobs.	
	A11	3,858,926		Jan., 1975	Ottenhues.	
	A12	3,882,855		May., 1975	Schulle et al.	
	A13	3,983,863		Oct., 1976	Janke et al.	
	A14	4,047,532		Sep., 1977	Phillips et al.	
	A15	4,049,002		Sep., 1977	Kietschka et al.	
	A16	4,052,980		Oct., 1977	Grams et al.	
	A17	4,226,228		Oct., 1980	Shin et al.	
	A18	4,230,119		Oct., 1980	Blum.	
	A19	4,306,561		Dec., 1981	de Medinaceli.	
	A20	4,366,819		Jan., 1983	Kaster.	
	A21	4,388,736		Jan., 1983	Kaster.	
	A22	4,428,368		Jan., 1984	Torii.	
	A23	4,461,284		Jul., 1984	Fackler.	
	A24	4,492,229		Jan., 1985	Grunwald	
	A25	4,637,377		Jan., 1987	Loop	
	A26	4,646,747		Mar., 1987	Windback.	
	A27	4,718,418		Jan., 1988	L'Esperance, Jr.	
Examiner Signature					Date Considered	

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	2	of	10

	A28	4,726,358		Feb., 1988	Santilli et al.	
	A29	4,726,358		Feb., 1988	Brady.	
	A30	4,736,749		Apr., 1988	Lundback.	
	A31	4,747,395		May., 1988	Brief.	
	A32	4,754,748		Jul., 1988	Cox.	
	A33	4,803,984		Feb., 1989	Narayanan et a.	
	A34	4,808,163		Feb., 1989	Laub	
	A35	4,829,985		May., 1989	Couetil.	
	A36	4,852,552		Aug., 1989	Chaux	
	A37	4,854,318		Aug., 1989	Solem et al.	
	A38	4,863,133		Sep., 1989	Bonnell	
	A39	4,884,559		Dec., 1989	Collins.	
	A40	4,925,443		May., 1990	Heilman et al.	
	A41	4,949,707		Aug., 1990	LeVahn et al.	
	A42	4,955,896		Sep., 1990	Freeman	
	A43	4,962,758		Oct., 1990	Lasner et al.	
	A44	4,973,300		Nov., 1990	Wright	
	A45	4,989,587		Feb., 1991	Farley.	
	A46	4,991,578		Feb., 1991	Cohen.	
	A47	5,009,660		Apr., 1991	Clapham	
	A48	5,011,469		Apr., 1991	Buckberg et al.	
	A49	5,036,868		Aug., 1991	Berggren et al.	
	A50	5,037,428		Aug., 1991	Picha et al.	
	A51	5,052,373		Oct., 1991	Michelson	
	A52	5,053,041		Oct., 1991	Ansari et al.	
	A53	5,080,088		Jan., 1992	LeVahn	
	A54	5,098,369		Mar., 1992	Heilman et al.	
	A55	5,119,804		Jun., 1992	Anstadt.	
	A56	5,131,905		Jul., 1992	Grooters	
	A57	5,133,724		Jul., 1992	Wilson, Jr. et al.	
	A58	5,167,223		Dec., 1992	Koros et al.	
	A59	5,171,254		Dec., 1992	Sher	

Examiner Signature	Date Considered
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		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
(use as many sheets as necessary)		Attorney Docket Number	GUID-012CON
Sheet	3	of	10

A60	5,231,974	Aug., 1993	Giglio et al.
A61	5,287,861	Feb., 1994	Wilk
A62	5,293,863	Mar., 1994	Zhu et al.
A63	5,300,087	Apr., 1994	Knoepfler
A64	5,318,013	Jun., 1994	Wilk.
A65	5,336,252	Aug., 1994	Cohen
A66	5,382,756	Jan., 1995	Hellman et al.
A67	5,417,709	May., 1995	Slater
A68	5,437,651	Aug., 1995	Todd et al.
A69	5,452,733	Sep., 1995	Sterman et al.
A70	5,467,763	Nov., 1995	McMahon et al.
A71	5,498,256	Mar., 1996	Furnish
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A74	5,512,037	Apr., 1996	Russell et al.
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A77	5,529,571	Jun., 1996	Daniel
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A80	5,607,421	Mar., 1997	Jeevanandam
A81	5,607,446	Mar., 1997	Beehler et al.
A82	5,613,937	Mar., 1997	Garrison et al.
A83	5,651,378	Jul., 1997	Matheny et al.
A84	5,727,569	Mar., 1998	Benetti et al.
A85	5,749,892	May., 1998	Vierra et al.
A86	5,772,583	Jun., 1998	Wright et al.
A87	5,782,746	Jul., 1998	Wright
A88	5,789,661	Sep., 1998	Boyd et al.
A89	5,807,243	Sep., 1998	Vierra et al.
A90	5,813,410	Sep., 1998	Levin
A91	5,836,311	Nov., 1998	Borst et al.

Examiner Signature	Date Considered
--------------------	-----------------

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		Application Number	09/900,503
		Filing Date	July 8, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
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	A92	5,846,193		Dec., 1998	Wright	
	A93	5,846,194		Dec., 1998	Wasson et al.	
	A94	5,865,730		Feb., 1999	Fox, et al.	
	A95	5,868,770		Feb., 1999	Rygaard	
	A96	5,876,332		Mar., 1999	Looney	
	A97	5,879,291		Mar., 1999	Kolata et al.	
	A98	5,885,271		Mar., 1999	Hamilton et al.	
	A99	5,888,247		Mar., 1999	Benetti	
	A100	5,891,017		Apr., 1999	Swindle et al.	
	A101	5,894,843		Apr., 1999	Benetti et al.	
	A102	5,908,601		May., 1999	Taylor et al.	
	A103	5,908,382		Jun., 1999	Koros et al.	
	A104	5,913,876		Jun., 1999	Taylor et al.	
	A105	5,927,284		Jul., 1999	Koros et al.	
	A106	5,947,125		Sep., 1999	Benetti	
	A107	5,957,835		Sep., 1999	Anderson et al.	
	A108	5,967,972		Oct., 1999	Santilli et al.	
	A109	5,976,080		Nov., 1999	Farascioni	
	A110	5,984,865		Nov., 1999	Farley et al.	
	A111	421,803		Mar., 2000	Koros et al.	
	A112	6,017,304		Jan., 2000	Vierra et al.	
	A113	6,019,722		Feb., 2000	Spence et al.	
	A114	6,030,340		Feb., 2000	Maffel et al.	
	A115	6,032,672		Jun., 1997	Taylor	
	A116	6,033,362		Mar., 2000	Cohn	
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	A118	6,050,266		Apr., 2000	Benetti et al.	
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	A122	6,102,854		Aug., 2000	Carlier et al.	
	A123	6,139,492		Oct., 2000	Vierra et al.	

Examiner Signature		Date Considered	
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Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/900,503
		Filing Date	July 8, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	5	of	10

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. 1	Foreign Patent Documents			Date of Publication of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents
		Office ³	Number ⁴	Kind Code ⁵ (if known)		
	B1		WO 87/04081		Jul., 1987	WO.
	B2		0 293 760 A1		Dec., 1988	DE
	B3		0 293 760 A2		Dec., 1988	DE
	B4		0 293 760 A3		Dec., 1988	DE
	B5		90 04513		June, 1990	DE
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	B7		0 630 829 A1		May, 1994	EP
	B8		WO 94/14383		Jul., 1994	WO.
	B9		WO 94/18881		Sep., 1994	WO.
	B10		WO 95/01757		Jan., 1995	WO.
	B11		WO 95/17127		Jun., 1995	WO.
	B12		668 058 A1		Aug., 1995	
	B13		WO 96/00033		Jan., 1996	WO.
	B14		WO 97/10753		Mar., 1997	WO.
	B15		WO 97/32514 A3		Sep., 1997	WO.
	B16		WO 98/48703		Nov., 1998	WO.
	B17		WO 98/49947		Nov., 1998	WO.
	B18		WO 99/08585		Feb., 1999	WO.
	B19		WO 00/06041		Feb., 2000	WO.
	B20		0 993 806 A2		April, 2000	EP

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/900,503
		Filing Date	July 8, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
Sheet 6 of 10	Attorney Docket Number	GUID-012CON	

B21	WO 00/42921	Jul., 2000	WO.	
B22	WO 00/42935	Jul., 2000	WO.	
B23	WO 00/42936	Jul., 2000	WO.	
B24	WO 00/42937	Jul., 2000	WO.	

OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS); title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.); date, page(s), volume-issue number(s), publisher, city and/or country where published.	
	C1	Ancalmo, N. and J. L. Ochsner: "A Modified Sternal Retractor," Ann. Thorac. Surg. 21 (1976) 174.	
	C2	Angelini, G.D., M.D. et al., "A Fiber-Optic Retractor for Harvesting the Internal Mammary Artery," Ann. Thorac. Surg. (1990;50:314-5).	
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	C7	Archer, R., DO et al., "Coronary Artery Revascularization Without Cardiopulmonary Bypass," Texas Heart Institute Journal, vol. 11, No. 1, Mar. 1984, pp. 52-57.	
	C8	Arom, K.V., et al., "Mini-Sternotomy for Coronary Artery Bypass Grafting," The Annals of Thoracic Surgery 1996;61:1271-2.	
	C9	Arom, K.V. et al., "Mini-Sternotomy for Coronary Artery Bypass Grafting," The Annals for Thoracic Surgery 1996;62:1884-85.	
	C10	Ballantyne, C. M., et al. "Delayed Recovery of Severely 'Stunned' Myocardium With the Support of a Left Ventricular Assist Device after Coronary Artery Bypass Graft Surgery," Journal of the American College of Cardiology vol. 10, No. 3, Sep. 1987, pp. 710-712.	
	C11	Bedellino, M. M. et al., "The Cardiac Rag -Simple Exposure of the Heart," Texas Heart Institute Journal, vol. 15, No. 2, 1988, 134-35.	

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		Application Number	09/900,503
		Filing Date	July 8, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	7	of	10

C12	Benetti, F. J., et al., "Direct Coronary Surgery with Saphenous Vein Bypass Without Either Cardiopulmonary Bypass Graft or Cardiac Arrest," The Journal of Cardiovascular Surgery, vol. 26, No. 3, May-Jun, 1985, pp. 217-222.
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C25	Cremer, J., MD, "Off-Bypass Coronary Bypass Grafting Via Minithoracotomy Using Mechanical Epicardial Stabilization," The Annals of Thoracic Surgery, 63:S79-83, 1997.
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/900,603		
		Filing Date	July 6, 2001		
		First Named Inventor	Hu et al.		
		Group Art Unit	3732		
		Examiner Name	Jeffery A. Smith		
Sheet	8	of	10	Attorney Docket Number	GUID-012CON

C29	Fonger, J. D. et al., "Enhanced Preservation of Acutely Ischemic Myocardium with Transseptal Left Ventricular Assist," The Annals of Thoracic Surgery, vol. 57, No. 3, Mar. 1994, pp. 570-575.
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C31	Green, GE., "Technique of Internal Mammary-Coronary Artery Anastomosis," The Journal of Cardiovascular Surgery, 78:455-59, 1979.
C32	Groopman, J., "Heart Surgery, Unplugged; Making the Coronary Bypass Safer, Cheaper, and Easier," The New Yorker, Jan. 11, 1999, pp. 43-46, 50-51.
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C35	Izzat, M. B., et al. "Cardiac Stabilizer for Minimally Invasive Direct Coronary Artery Bypass," Ann Thora Surg. 1997.
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C37	Japanese Article "Heart Retractor".
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C39	Kolessov, V. I., M. D., "Mammary Artery-Coronary Artery Anastomosis as Method of Treatment for Angina Pectoris," Thoracic and Cardiovascular Surgery, vol. 54, No. 4, Oct. 1987, pp. 535-544.
C40	Konishi, T. MD. et al., "Hybrid-Type Stabilizer for Off-Pump Direct Coronary Artery Bypass Grafting," Annals of Thoracic Surgery 66:961-2, 1998.
C41	Kresh, J. Y., et al., "Heart-Mechanical Assist Device Interaction," Trans. Am. Soc. Artif. Intern. Organs, vol. XXXII, 1986, pp. 437-443.
C42	Lavargne, et al., "Transcatheter Radiofrequency Ablation of Atrial Tissue Using A Suction Catheter," PACE, vol. 12, Jan. 1989, Part II, pp. 177-186.
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C44	Matsuura, A. MD, et al., "A New Device for Exposing the Circumflex Coronary Artery," The Annals of Thoracic Surgery, 59:1249-50, 1995, pp. 1249-1250.
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C46	McKeown, P. P. et al., "A Modified Sternal Retractor for Exposure of the Internal Mammary Artery," Ann. Thorac. Surg. 32(1981) 619.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
(use as many sheets as necessary)		Attorney Docket Number	GUID-012CON
Sheet	9	of	10

C47	Ochsner, J.L. et al., "Surgical Management of Diseased Intracavitary Coronary Arteries," The Annals of Thoracic Surgery, vol. 38, No. 4, Jul. pp. 356-62, Oct. 1984.
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C49	Perrault, L. et al., "Snaring of the Target Vessel in Less Invasive Bypass Operations Does Not Cause Endothelial Dysfunction," The Society of Thoracic Surgeons, pp. 751-755, 1997.
C50	Pfister, A. J. M. D. et al., "Coronary Artery Bypass Without Cardiopulmonary Bypass," The Annals of Thoracic Surgery, vol. 54, No. 6, Dec. 1992, pp. 1085-1092.
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C51	Richenbacher, W. E., MD, et al., "Current Status of Cardiac Surgery: A 40-Year Review," Journal of American College of Cardiology, vol. 14, No. 3, pp. 535-544.
C52	Robicsek, F., "Aortic Spoon-Jaw Clamp for Aorta-Saphenous Vein Anastomosis," Journal of Cardiac Surgery, 10:583-585, 1995.
C53	Robinson, M. C. et al., "A Minimally Invasive Surgical Method for Coronary Revascularization - Preliminary Experience in Five Patients," Circulation, Oct. 15, 1995, vol. 92, No. 8, 1-176.
C54	Rousou, J. et al., "Cardiac Retractor for Coronary Bypass Operations," The Society of Thoracic Surgeons, pp. 52:877-78, 1991.
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C59	Trapp, W.G. and Bisarya, R., "To Use or Not To Use the Pump Oxygenator in Coronary Bypass Operations," The Annals of Thoracic Surgery, vol. 19, No. 1, Jan. 1975, pp. 108-109.
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C62	Vigano, M., "Tecnica Corporation," Minerva Cardioangiologica, vol. 23, -N. 6-7 (1975), pp. 369-371.
C63	Vincent, J. G., "A Compact Single Post Internal Mammary Artery Dissection Retractor," Eur. J. Cardio-Thor. Surg. 3(1989)276-277.
C64	Westaby, S. et al., "Less Invasive Coronary Surgery: Consensus From the Oxford Meeting," The Annals of Thoracic Surgery, 62:924-31, 1996.

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		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	10	of	10

C65	Zumbro, G. L. et al., "A Prospective Evaluation of the Pulsatile Assist Device," The Annals of Thoracic Surgery, vol. 28, No. 2, Aug. 1979, pp. 269-273.	
C66	60/117,333 Looney et al. (provisional) filed in Jan. 24, 1999.	
C67	09/345,859 Looney et al. filed on Jul. 1, 1999.	
C68	09/438,670 Parsons, et al. filed on Nov. 12, 1999.	
C69	09/489,274 Brown et al. filed on Jan. 21, 2000.	

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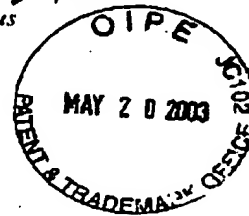
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 File No. GLTD-012CON
 Application No.: 09/900,503
 Inventor(s): Lawrence W. Hu, et al.
 Title: *Surgical Retractor Platform Blade Apparatus*

Date Mailed: May 14, 2003
 Date Filed: *Even Date Here with*
July 6, 2003

Enclosures:

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- Amendment under 37 CFR 1.116 (7 pages)
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Application No.: 09/900,503
Inventor(s): Lawrence W. Hu, et al.
Title: *Surgical Retractor Platform Blade Apparatus*

Date Mailed: September 15, 2003
Date Filed: 7/6/2001

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